

PATENT

Docket No.: LBL-IB-1498-1

Applicant or Patentee: WENBING YUN; JOHN SPENCE; HOWARD A. PADMORE; ALASTAIR A. MacDOWELL; MALCOLM R. HOWELLS
Serial or Patent No.: 09/927,428
Filed or Issued: AUGUST 9, 2001
For: METHOD FOR NANOMACHINING HIGH ASPECT RATIO STRUCTURES
Group:
Examiner:

POWER OF ATTORNEY BY ASSIGNEE
AND EXCLUSION OF INVENTOR(S) UNDER 37 C.F.R. 3.71

Dear Sir:

The undersigned assignee of the entire interest in the above-identified subject application hereby appoints

John P. O'Banion, Reg. No. 33,201

as its attorney to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorney(s) in accordance with the provisions of 37 C.F.R. 3.71.

An assignment of the entire interest in the above-identified subject application:

☐ was recorded on _____ at reel/frame _____ / _____.

☒ is submitted herewith for recording.

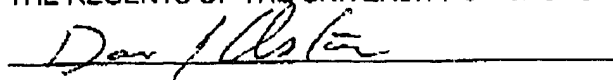
Please direct all telephone calls to John P. O'Banion at (916) 498-1010 and all correspondence relative to said application to the following address:

John P. O'Banion, Esq.
O'BANION & RITCHEY LLP
400 Capitol Mall, Suite 1550
Sacramento, CA 95814

Dated: October 15, 2001

ASSIGNEE: THE REGENTS OF THE UNIVERSITY OF CALIFORNIA

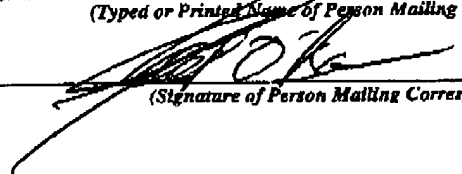
Signature:



Typed Name: David Aston

Title:

Manager, ~~Patent Prosecution~~
Patent Department
LAWRENCE BERKELEY LABORATORY
One Cyclotron Road, MS 90-1121
Berkeley, CA 94720

CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8) Applicant(s): WENBING YUN ET AL.		Docket No. LBL-IB-1498-1	
Serial No. 09/927,428	Filing Date AUGSUT 9, 2001	Examiner	Group Art Unit 1765
Invention: METHOD FOR NANOMACHINING HIGH ASPECT RATIO STRUCTURES			
<p>I hereby certify that this <u>Power of Attorney by Assignee (Page 1)</u> <small>(Identify type of correspondence)</small></p> <p>is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on <u>November 14, 2001</u> <small>(Date)</small></p> <div style="text-align: center; margin-top: 50px;"> <u>JOHN P. O'BANION</u> <small>(Typed or Printed Name of Person Mailing Correspondence)</small>  <small>(Signature of Person Mailing Correspondence)</small> </div>			
Note: Each paper must have its own certificate of mailing.			

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Group:
Examiner:

ASSIGNEE CERTIFICATION UNDER 37 C.F.R. 3.73(b)

In accordance with 37 C.F.R. 3.73(b), the assignee hereby certifies that the evidentiary documents with respect to its ownership have been reviewed and that, to the best of the assignee's knowledge and belief, title is in the assignee seeking to take this action.

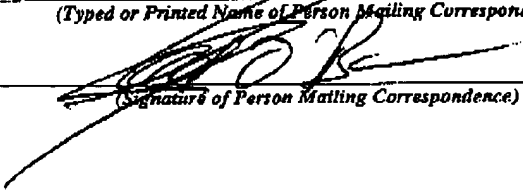
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ASSIGNEE: THE REGENTS OF THE UNIVERSITY OF CALIFORNIA

Signature: 

Typed Name: David Aston

Title: ~~Patent Prosecution~~
Manager, Patent Department
LAWRENCE BERKELEY LABORATORY
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P07A/REV03

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Title: METHOD FOR NANOMACHINING HIGH ASPECT RATIO STRUCTURES
Group:
Examiner:

BOX ASSIGNMENT

Assistant Commissioner for Patents

Washington, D.C. 20231

ASSIGNMENT (DOCUMENT) COVER LETTER

PATENT OR PATENT APPLICATION

1. NAMES OF PARTY(IES) MAKING TRANSFER

Name 1: WENBING YUN
Name 2: JOHN SPENCE
Name 3: HOWARD A. PADMORE
Name 4: ALASTAIR A. MacDOWELL
Name 5: MALCOLM R. HOWELLS

2. IDENTITY OF PARTY(IES) TO WHOM TRANSFER IS MADE

This transfer is being made to:

Name: THE REGENTS OF THE UNIVERSITY OF CALIFORNIA
Address: 1111 FRANKLIN STREET, 12TH FLOOR
OAKLAND, CA 94607-5200

3. INTENTION OF DOCUMENT

A brief description of what the accompanying document intends to accomplish is that it is an:

X Assignment
— License
— Security Interest

Other

4. **IDENTIFICATION OF PATENT OR APPLICATION**

Particulars of the patent or application to which the accompanying document applies are:

Inventor(s): WENBING YUN; JOHN SPENCE; HOWARD A. PADMORE; ALASTAIR A. MacDOWELL; MALCOLM R. HOWELLS

For (title): METHOD FOR NANOMACHINING HIGH ASPECT RATIO STRUCTURES

(a) ☐ U.S. patent application filed herewith.

(b) ☒ U.S. patent application serial no. 09/927,428 filed on AUGUST 9, 2001.

(c) ☐ U.S. patent no. _____ issued _____.

5. **NAME AND ADDRESS TO WHICH CORRESPONDENCE SHOULD BE MAILED**

Please address all correspondence and return the recorded document to:

John P. O'Banion
O'BANION & RITCHEY LLP
400 Capitol Mall, Suite 1550
Sacramento, CA 95814

6. **NUMBER OF APPLICATIONS OR PATENTS IDENTIFIED AND TOTAL FEE DUE**

The number of applications or patents identified herein is: 1

Total Fee Due

\$ 40.00

7. **DATE DOCUMENT WAS EXECUTED**

The accompanying document was executed on: October 10, 2001.

8. **FEE PAYMENT**

Fee payment is provided for as follows:

☐ New Application transmittal (Item 18 - INCLUDED IN FILING FEE)

☐ FWC Transmittal (Item VII)

☐ Transmittal of Filing under 37 CFR 1.60(b) (Item 11)

☒ Attached is a check in the sum of \$40.00

X Charge Account No. 07-1137 If any additional fee is due.

Charge Account No. _____ in the sum of _____ A duplicate of this transmittal is attached.

9. **STATEMENT OF AUTHENTICITY**

The undersigned certifies that, to the best of his or her knowledge and belief, the information contained in this cover sheet is true and correct, and any copy of the document submitted for recording is a true copy of the original document.

10. **SIGNATURE**

Dated: _____

John P. O'Banion, Reg. No. 33,201
O'BANION & RITCHEY LLP
400 Capitol Mall, Suite 1550
Sacramento, CA 95814
(916) 498-1010

PATENTAttorney Docket No. LBL-IB-1498-1**ASSIGNMENT**

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

Name: WENBING YUN
Address: 2812 FILBERT DRIVE
WALNUT CREEK, CA 94598

Nationality: UNITED STATES

Name: JOHN SPENCE
Address: 2010 S. LaROSA DRIVE
TEMPE, ARIZONA 85282

Nationality: UNITED STATES

Name: HOWARD A. PADMORE
Address: 1910 SAN ANTONIO AVENUE
BERKELEY, CA 94720

Nationality: UNITED KINGDOM

Name: ALASTAIR A. MacDOWELL
Address: 1836 DELEWARE STREET
BERKELEY, CA 94703

Nationality: UNITED KINGDOM

Name: MALCOLM R. HOWELLS
Address: 1868 CATALINA AVENUE
BERKELEY, CA 94707

Nationality: UNITED STATES

hereby sell(s), assign(s) and transfer(s) to ASSIGNEE:

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA, A CALIFORNIA CORPORATION, 111
FRANKLIN STREET, 12th Floor, OAKLAND, CA 94607-5200,

and the successors, assigns and legal representatives of the ASSIGNEE, the entire right, title and interest
for the United States and its territorial possessions and in all foreign countries, including all rights to claim
priority, in and to any and all improvements which are disclosed in the invention entitled:

METHOD FOR NANOMACHINING HIGH ASPECT RATIO STRUCTURES

and which is found in

- (a) ☐ U.S. provisional patent application filed herewith and listing the above named person(s)
as inventor(s).
- (b) ☐ U.S. patent application filed herewith listing the above named person(s) as inventor(s).

(c) ☒ U.S. patent application serial no. 09/927,428, filed on August 9, 2001.

(d) ☐ U.S. Patent No.: _____, issued _____.

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant(s) that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenant(s) that **ASSIGNEE** will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to **ASSIGNOR** and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to **ASSIGNEE** or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the **ASSIGNOR(S)** request(s) the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the **ASSIGNEE**, the Regents of the University of California.

Date: 10/10/01

Inventor:

WENBING YUN

Date: 10/10/01

Inventor:

JOHN SPENCE

Date: 9/14/01

Inventor:

HOWARD A. PADMORE

Date: 10/1/01

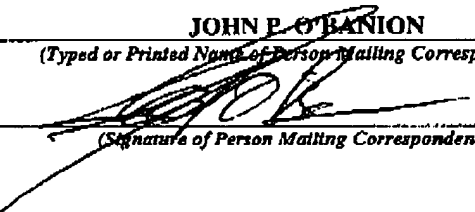
Inventor:

ALASTAIR A. MacDOWELL

Date: 9/28/01

Inventor:

MALCOLM R. HOWELLS

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